



*"People  
helping people  
help  
themselves"*

Mitchell E. Daniels, Jr., Governor  
State of Indiana

***Division of Disability and Rehabilitative Services***  
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## Case Management Service Checklist

Prospective providers wishing to provide case management service must submit all of the items outlined below.

### Required Documentation

#### 1. Legal Documents

- Certificate of incorporation/authority from the Secretary of State of Indiana;
- Verification of any assumed business names (DBAs), if applicable, from the Secretary of State of Indiana;
- Verification of a tax identification number from the Internal Revenue Service;
- Proof of registration of any assumed business names (DBAs), if applicable, from office of the County Recorder of each county in which a place of business is located.

Contact the office of the [Secretary of State](#) at (317) 232-6576 for further information or clarification.

#### 2. Insurance Coverage

- Insurance coverage covering the provider for any and all claims of any nature which may in any manner arise out of or result from the provider's services to an individual.
- Workers compensation coverage meeting all statutory requirements of IC 22-3-2.
- Professional liability insurance on all case managers.

#### 3. Financial Documentation

- Current expenses and revenues;
- Projected budgets outlining future operations (i.e., projected future costs and income);
- Letter from a financial institution verifying the financial stability of the entity, which must state the ability to obtain a line/letter of credit in the amount of \$75,000, which will allow the entity to deliver services without interruption for at least two (2) consecutive months without payment.
- A surety bond in the amount of \$50,000



#### 4. Organizational Chart

- A current organizational chart of agency, including parent and subsidiary corporations, if applicable.
- List all agency positions, including vacancies.
  - Include a job description for each position;
  - and the name/title of the supervisor to whom the employee in the position must report.
  - Positions should match the positions noted on the organizational chart.

#### 5. Proof of Managerial Ability

All applications must include supplemental proof that the principal parties involved possess the managerial abilities to deliver requested services and to manage the business aspects of being a provider. The following must be submitted:

- Resumes;
- Diplomas/transcripts, if applicable;
  - If the resume reflects a college degree, a copy of diploma and transcript must be included.
- Training experience/certifications/licensure.
- **Note:** *If education was obtained outside of the United States, applicants should go to the [Indiana State Personnel Department webpage](#) in order to receive credential evaluation information. The results must be submitted along with the other requirements.*

#### 6. Documentation of Criminal Histories (460 IAC 6-10-5; [DDRS Documentation of Criminal Histories](#); [DDRS Employment of Persons with Convictions of Prohibited Offenses or Non-Residency](#))

- All applications must include documentation of criminal histories meeting the minimum requirements outlined in 460 IAC 6.

**Note:** *Verification from the State Nurse Aide Registry of the Indiana State Department of Health (ISDH) is available on the [ISDH website](#). Go to Regulatory Services, click on Indiana Health Care Providers – Professionals tab, click on Nurse Aide with findings. Print this portion of the list where the individual's name should appear. Print the individual's name with an arrow to the location, then initial and date the print-out.*

#### 7. Qualifications

- All applications must include evidence that the applicant's employees meet the required qualifications.
- All case management entities must employ the following qualified staff:
  - Case Managers (Must employ at least two full-time, certified Case Managers). Case Managers must comply with one or more of the following qualifications:

- Bachelor's degree in one of the following specialties from an accredited college or university:
  - Social work
  - Psychology
  - Sociology
  - Counseling
  - Gerontology
  - Nursing
  - Special education
  - Rehabilitation
  - or related degree if approved by DDRS/OMPP representative
- Registered nurse with one (1) year experience in human services.
- Bachelor's degree in any field with a minimum of one (1) year full-time, direct experience working with persons with developmental disabilities.
- Master's degree in a related field may substitute for required experience.
- All case managers must meet the requirements for a qualified mental retardation professional in 42 CFR 483.430(a).
  - **Required Documentation for all Case Managers:**
    - Resumes, Diplomas, Transcripts, Certifications/licenses.
    - **Note:** *If education was obtained outside of the United States, applicants should go to the [Indiana State Personnel Department webpage](#) in order to receive credential evaluation information. The results must be submitted along with the other requirements.*
    - Certification/proof of successful completion of the DDRS/BDDS-approved case management training curriculum within 6 months of employment, attaining of a test score no lower than 95%.
- Registered Nurse (Must employ at least one full-time Registered Nurse)
  - **Required Documentation:**
    - Resumes, Diplomas, Transcripts and Certifications/licenses.
    - **Note:** *If education was obtained outside of the United States, applicants should go to the [Indiana State Personnel Department webpage](#) in order to receive credential evaluation information. The results must be submitted along with the other requirements.*
- Compliance Officer (Must employ at least one full-time Compliance Officer)
  - **Required Documentation:**
    - Resumes, Diplomas, Transcripts and Certifications/licenses.
    - **Note:** *If education was obtained outside of the United States, applicants should go to the [Indiana State Personnel Department webpage](#) in order to receive credential evaluation information.*

*The results must be submitted along with the other requirements.*

8. Staff Training Curriculum (460 IAC 6-14-4 and 6-16-3)

All applications must include a staff training curriculum/manual that includes training given to staff specifically related to the service(s) provided and for which the applicant is seeking approval to provide.

9. Policies and Procedures Manual – Operations Manual

All applications must include the policies and procedures of the applicant's organization. The following must be included in the policies and procedures of the organization and must meet the minimum standards set forth in 460 IAC 6.

- Code of Ethics ([DDRS Provider Code of Ethics](#))
- Rights of Individuals (460 IAC 6-8);
- Protection of an Individual (460 IAC 6-9-2; [DDRS Protection of Individuals' Rights](#));
- Incident Reporting ([DDRS Incident Reporting and Management](#));
- Transfer of an Individual's Records (460 IAC 6-9-6);
- Notice of Termination of Services (460 IAC 6-9-7);
- General Administrative Requirements for Providers (460 IAC 6-10);
- Personnel Policies ([DDRS Personnel Policies & Manuals](#));
- Maintenance of Records of Services Provided ([DDRS Maintenance of Records of Services Provided](#));
- Behavioral Support Plan ([DDRS Behavioral Support Plan](#));

10. Quality Assurance and Quality Improvement: ([DDRS Quality Assurance & Quality Improvement System](#))

All applications must include documentation of an internal quality assurance and quality improvement system meeting the minimum requirements outlined in 460 IAC 6.

11. Information Technology

- All case management entities must have technological capability to interface with IOT server
- All case management entities must have the ability to pay all fees associated with interfacing with IOT server
- All case managers must utilize DDRS contracted case management IT system

12. Proof of National Accreditation

- All applications must submit proof of accreditation by (or proof of application to seek accreditation from) one of the following organizations:

- The Commission on Accreditation of Rehabilitation Facilities (CARF) or its successor;
  - The Council on Quality and Leadership in Supports for People with Disabilities or its successor;
  - The Council on Accreditation;
  - An independent national accreditation organization approved by the Secretary of FSSA.
- Application for a survey through the accrediting entity for a new service must be submitted within one year of receiving approval.
- The agency must submit to the Bureau of Developmental Disabilities Services proof of application for an accreditation survey, and a copy of the letter from the accrediting entity indicating accreditation for a one (1) to three (3) year period.